

**Internal Audit Plan Progress Monitor**

APPENDIX A

**Assignments completed or in progress during period 01/12/2008 - 28/02/2009**

DEPT	AREA	ASSIGNMENT	STATUS 28/02/09	OPINION
<b>KEY ASSIGNMENTS</b>				
CYPS	Strategic Management	Childrens Trust - Children and Young People's Partnership	Completed	Satisfactory
RE	Finance Division	Bank Reconciliation and Cheque Control	Completed	Satisfactory
CD	IT	Mobile computing and Data Transfer	Completed	Needs Improvement
HSC	IT	Business Continuity Planning/Disaster Recovery	Completed	Needs Improvement
CYPS	Strategic Management	Departmental Resource Allocation, Budgetary Control (all levels incl service) - Follow up	In Progress	
C&L	Contracts/Procurement	PFI- South Bristol Healthplex (Hengrove)	In progress	
CYPS	Schools General	FMSiS - External Assessments 2008/09	In Progress	
RE-FIN	B/F from 2007/08	Gershon	In progress	
C&L	Contracts/Procurement	Museum of Bristol	In progress	
DCX	B/F from 2007/08	INTERREG III	In progress	
NH	Contracts/Procurement	Waste Services, Refuse Collection and Recycling	In progress	
HSC	Strategic Management	Departmental Resource Allocation, Budgetary Control and MTFP - Follow up	In Progress	
C&L	IT	Mobile computing and Data Transfer	In progress	
RE	IT	Mobile computing and Data Transfer	In progress	
NH	IT	Mobile computing and Data Transfer	In progress	
CYPS	IT	Mobile computing and Data Transfer	In progress	
NH	IT	Business Continuity Planning/Disaster Recovery	In progress	
Corporate - IT	IT	Business Transformation Programme (Block) Allocation)	In progress	
RE	IT	Information Security Policy & Management	In progress	
HSC	IT	Mobile computing and Data Transfer	In progress	
RE	Finance Division	Capital Accounting Key Controls	In progress	
Corporate	Corp. Planning, Performance & Improvement	Partnerships (General) Including Bristol Partnership	In Progress	
Corporate	Corporate Governance	Comprehensive Area Assessment - Issues	In Progress	
Corporate	Other Corporate Policies and Processes	Business Transformation - Over arching review of process	In Progress	
Corporate	Other Corporate Policies and Processes	Members Declarations	In Progress	
Corporate	Corporate Governance	Business Continuity	In Progress	
Corporate	Corporate Finance	Value for money strategy (to include strategy, profile and VFM performance measures and Productivity project progress)	In Progress	
Corporate	Corporate Governance	Annual Governance Statement Monitoring	In Progress	
Corporate	Corporate Governance	Annual Governance Statement ( Production and Process)	In Progress	
RE	Human Resources	Corporate Payroll System	In progress	
RE	Finance Division	General Debtors Key Controls	In progress	
RE	Finance Division	Business Transformation	In progress	
NH	Housing Benefit	HB Key Controls	In progress	
DCX	Chief Executive	West of England Partnerships	In progress	
RE	Finance Division	Creditors Key Controls	In progress	
<b>NON KEY ASSIGNMENTS</b>				
NH	Housing Benefit	Assessment Teams	Completed	Good
C&L	Strategic Management	Financial Grants Certification Process ie: Year of Sports & Sports England	Completed	Good
CYPS	Primary Schools	Summerhill Infant	Completed	Good
CYPS	Primary Schools	Knowle Park Primary	Completed	Good
NH	B/F from 2007/08	Anite - Housing Management System	Completed	Satisfactory
RE	Legal Services	Conveyancing	Completed	Satisfactory
NH	Housing General	Homelessness, Board & Lodge, Housing Options and Advice	Completed	Satisfactory
CYPS	Secondary Schools	Monks Park (Replaced Burnbush Primary - Deferred until 2009/10)	Completed	Satisfactory
CYPS	Primary Schools	Perry Court Infant	Completed	Satisfactory
CYPS	Primary Schools	Perry Court Junior	Completed	Satisfactory
NH	Housing General	Sales of Council Houses	Completed	Satisfactory
CYPS	Primary Schools	Victoria Park Junior	Completed	Satisfactory
CYPS	Special Schools	Claremont	Completed	Needs Improvement
CYPS	Special Schools	Florence Brown	Completed	Needs Improvement
CD	B/F from 2007/08	Major works (Vivaldi, Traffic signals, etc)	Completed	Needs Improvement
RE	IT	E Forms projects	Completed	Needs Improvement
HSC	B/F from 2007/08	Bristol 600	Completed	Needs Improvement
CYPS	Primary Schools	New Oak Primary	Completed	Needs Improvement
CYPS	Primary Schools	Holymead Infant	Completed	Needs Improvement
CYPS	Primary Schools	Summerhill Junior	Completed	Needs Improvement
CYPS	Primary Schools	Wansdyke Primary	Completed	Needs Improvement
CYPS	Primary Schools	Two Mile Hill Junior	Completed	Needs Improvement
CYPS	Secondary Schools	Redland Green	Completed	Poor
Corporate	Audit Development	Snips and Tips	Completed	N/A
Corporate	Risk Management	British Standard	Completed	N/A
Corporate	Other Corporate Policies and Processes	Staff - Declarations of Interest, Gifts and Hospitality Phase 2	In Progress	
Corporate	Networking/Best Practice/Alerts	Assistance to other teams re fraud investigation enquiries	In Progress	
Corporate	Fraud Risk Assessment and Testing	Risk Based Anti Fraud Testing Programme	In Progress	
Corporate - IT	IT	Strategic IT Management Meetings Attendance	In Progress	
Corporate	Fraud Risk Assessment and Testing	Fraud Risk Assessment	In Progress	
Corporate	Other Corporate Policies and Processes	Review of the Employee Code of Conduct	In Progress	

## Appendix A

DEPT	AREA	ASSIGNMENT	STATUS 28/02/09	OPINION
HSC	IT	Home Care Roster	In Progress	
HSC	Learning difficulties and Provider Services	Day Centres (replaced planned audit of Residential and Nursing Home Provision - EPH's/PwD)	In Progress	
HSC	Older People/PSI	Windfall Income and Memorandum Debt - Follow up	In Progress	
NH	Housing Rents	Rents - Income from Dwellings	In Progress	
Corporate	Risk Management	Attendance and SWURM/Bench Marking	In Progress	
Corporate	Risk Management	Risk Management Group	In Progress	
Corporate	Risk Management	General Guidance	In Progress	
Corporate	Risk Management	Web page maintenance	In Progress	
Corporate	Risk Management	Risk Management Reporting	In Progress	
Corporate	Fraud Risk Assessment and Testing	NFI Electoral Reg Match	In Progress	
Corporate	Fraud Risk Assessment and Testing	NFI 2008 output review and reporting	In Progress	
Corporate	Risk Management	Facilitating Workshops - SDP Risk Assessment	In Progress	
Corporate	Risk Management	Policy review	In Progress	
Corporate	Networking/Best Practice/Alerts	NAFN Warning bulletins	In Progress	
Corporate	Training & Awareness	Fraud Training (Members and Staff Incl Anti-fraud ICQ training)	In Progress	
Corporate	Training & Awareness	Fraud Bulletin	In Progress	
HSC	B/F from 2007/08	School Road	In Progress	
Corporate	Networking/Best Practice/Alerts	NAFN (National Antifraud Network)	In Progress	
CD	Transport Operations	Public Transport (bus info, monitoring local bus services etc.)	In Progress	
RE	IT	Internet Usage Management (Websense)	In Progress	
NH	IT	Programmed Works IT Systems	In Progress	
NH	Housing Benefit	HB Subsidy	In Progress	
NH	Housing Benefit	HB Intervention/Visiting Team	In Progress	
NH	Contracts/Procurement	Partnering Schemes (M&E, Response, Planned, Heating)	In Progress	
HSC	Strategic Management	Health and Safety Audits	In Progress	
HSC	Strategic Management	Departmental Payroll including Working Arrangements Policy - Follow up	In Progress	
CYPS	Contracts/Procurement	Security Framework Contract	In Progress	
CD	Contracts/Procurement	Pay and Display system replacement	In Progress	
Corporate	Networking/Best Practice/Alerts	Hotline (admin/advertisement etc)	In Progress	
CD	Transport Operations	Car Park Management and Admin Incl. Cash	In Progress	
CYPS	B/F from 2007/08	St Werburgh's	In Progress	
Corporate	Networking/Best Practice/Alerts	South West Fraud Group /benchmarking	In Progress	
RE-RR	IT	Procurement Transformation Programme	In Progress	
CYPS	Education Support and Development	Music Service - Follow up	In Progress	
Corporate	Audit Development	Roll-out of Risk Based Auditing	In Progress	
RE	Finance Division	Corporate Purchase Cards	In Progress	
Corporate	Corporate Governance Policy Reviews	Financial Regulations - Review and on-line version maintenance	In Progress	
Corporate	Audit Development	Code of Corporate Governance	In Progress	
Corporate	Audit Development	Audit Groups - Core Cities	In Progress	
Corporate	Audit Development	Audit Groups - West of England	In Progress	
CYPS	Primary Schools	Broomhill Junior	In Progress	
Corporate	Audit Development	Audit Library	In Progress	
Corporate	B/F from 2007/08	Procurement Analytical Review	In Progress	
CD	B/F from 2007/08	Uniform - Licensing System	In Progress	
RE	Human Resources	Payroll - Casual Payroll	In Progress	
Corporate	B/F from 2007/08	CRM System	In Progress	
CYPS	B/F from 2007/08	PFI - Phase 1	In Progress	
Corporate	Corp, Planning, Performance & Improvement	Service Delivery Planning (nb incl look at quality, risk mtfp and vfm inds - schedule for 1 <sup>st</sup> quarter)	In Progress	
NH	Contracts/Procurement	Housing maintenance transformation programme	In Progress	
RE	Human Resources	Payroll Certification Process	In Progress	
CYPS	Schools General	School Fund Audit Certificate	In Progress	
Corporate	HR Management	Sickness Absence Management	In Progress	
Corporate	Audit Development	Audit Manual/Guidance/Practice Notes	In Progress	
Corporate	Audit Development	Audit Committee Support & Development	In Progress	
Corporate	Audit Development	Staff Training Provision and Plans (incl edg)	In Progress	
Corporate	Contracts/Procurement	PPG Meetings	In Progress	
Corporate	Risk Management	CRR monitoring group	In Progress	
C&L	Contracts/Procurement	City Docks Capital Project	In Progress	
Corporate	Risk Management	Liaison with Departmental Reps	In Progress	
NH	Housing Benefit	Overpayments	In Progress	
NH	Housing Benefit	HB - Fraud Module Health Check	In Progress	
Corporate	Audit Development	APACE and Management Information Reports	In Progress	
Corporate	Audit Development	APACE roll out of upgrade and troubleshooting	In Progress	
Corporate	Audit Development	Western Unitaries Group Working	In Progress	
RE	Finance Division	Cash Office Support Team X2	In Progress	
Corporate	Audit Development	Intranet Page	In Progress	
Corporate	Audit Development	Effectiveness of IA including benchmarking	In Progress	
Corporate	Fraud Agenda	Money Laundering Policy - General Provision	In Progress	
Corporate	IT	Payment Card Industry Standard - Compliance Audit	In Progress	
Corporate	Contracts/Procurement	Procurement Analysis and Regulation Compliance	In Progress	